



07/07/03

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF EXPRESS MAILING

This transmittal and the documents and/or fees itemized hereon and attached hereto have been deposited as "Express Mail Post Office to Addressee" in accordance with 37 CFR §1.10 with Mailing Label Number EV334279684US.

Attorney Docket No. MAL1P001

First Named Inventor:

Chi Au et al.

## UTILITY PATENT APPLICATION TRANSMITTAL (37 CFR § 1.53(b))

Mail Stop Patent Application

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

☐ Duplicate for  
fee processing

Sir: This is a request for filing a patent application under 37 CFR § 1.53(b) in the name of inventors:  
Chi Au, Tzu-Yih Chu, Hao Yin, Edward W. Lee and Abraham C. Ma

For: **OPTICAL ISOLATOR, ATTENUATOR AND POLARIZER SYSTEM AND METHOD FOR INTEGRATED OPTICS**

Application Elements:

- ☒ 21 Pages of Specification, Claims and Abstract  
☒ 11 Sheets of Drawings  
☒ 03 Pages Combined Declaration and Power of Attorney

Accompanying Application Parts:

- ☒ Assignment and Assignment Recordation Cover Sheet (recording fee of \$40.00 enclosed)  
☐ 37 CFR 3.73(b) Statement by Assignee  
☐ Information Disclosure Statement with Form PTO-1449  
☐ Copies of IDS Citations  
☐ Preliminary Amendment  
☒ Return Receipt Postcard  
☒ Small Entity Statement(s)  
☒ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i)  
☐ Other:

Fee Calculation (37 CFR § 1.16)

	(Col. 1) NO. FILED	(Col. 2) NO. EXTRA	SMALL ENTITY		OR	LARGE ENTITY	
			RATE	FEE		RATE	FEE
BASIC FEE			\$375	\$375	OR	\$750	\$
TOTAL CLAIMS	30	-20 = 10	x09 =	\$90	OR	x18 =	\$
INDEP CLAIMS	04	-03 = 01	x42 =	\$42	OR	x84 =	\$
[ ] Multiple Dependent Claim Presented			\$135 =	\$	OR	\$270 =	\$0
* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.			Total	<b>\$507.00</b>	OR	Total	<b>\$0.00</b>

(Revised 12/97, Pat App Trans 53(b) Reg)



☒ Check No. 011996 in the amount of **\$547.00** is enclosed.

☒ The Commissioner is authorized to charge any fees beyond the amount enclosed which may be required, or to credit any overpayment, to Deposit Account No. 50-1351 (Order MAL1P001).

General Authorization for Petition for Extension of Time (37 CFR §1.136)

☒ Applicants hereby make and generally authorize any Petitions for Extensions of Time as may be needed for any subsequent filings. The Commissioner is also authorized to charge any extension fees under 37 CFR §1.17 as may be needed to Deposit Account No. 50-1351 (Order MAL1P001).

☒ Please send correspondence to the following address:

Silicon Valley IP Group, PC  
P.O. Box 721120  
San Jose, CA 95172-1120

Tel (408) 971-2573

**\*28875\***

Customer No.::

**28875**

PATENT TRADEMARK OFFICE

Date: \_\_\_\_\_

7/7/03

\_\_\_\_\_  
Kevin J. Zilka

Registration No. 41,429

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor

Chi Au et al.

Title

Optical Isolator, Attenuator and Polarizer System and  
Method for Integrated Optics

Atty Docket Number

MAL1P001

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

Date

7/7/03

Signature

Kevin J. Zilka (Reg. No. 41,429)

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.